

DECLARATION

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled: CAMPYLOBACTER GLYCOSYLTRANSFERASES FOR BIOSYNTHESIS OF GANGLIOSIDES AND GANGLIOSIDE MIMETICS, the specification of which was filed on March 21, 2001 as Application No. S.N. 09/816,028.

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Country	Application No.	Date of Filing	Priority Claimed Under 35 USC 119

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

Application No.	Filing Date
60/118,213	February 1, 1999

I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application No.	Date of Filing	Status
09/495,406	January 31, 2000	Pending

Full Name of Inventor 1:	Last Name: Gilbert	First Name: Michel	Middle Name or Initial:	
Residence & Citizenship:	City: Hull	State/Foreign Country: Quebec, Canada	Country of Citizenship: Canada	
Post Office Address:	Post Office Address: 116-101 Sacre-Coeur	City: Hull	State/Country: Canada	Postal Code: J8X 1C7
Full Name of Inventor 2:	Last Name: Wakarchuk	First Name: Warren	Middle Name or Initial: W.	
Residence & Citizenship:	City: Gloucester	State/Foreign Country: Ontario, Canada	Country of Citizenship: Canada	
Post Office Address:	Post Office Address: #11-837 Eastvale Drive	City: Gloucester	State/Country: Canada	Postal Code: K1J 7T5

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1	Signature of Inventor 2
<u>Michel Gilbert</u>	<u>Warren W. Wakarchuk</u>
Michel Gilbert	Warren W. Wakarchuk
Date July 12 / 2001	Date Aug. 1, 2001

SF 1240175 v1

Please type a plus sign (+) inside this box →



PTO/SB/81 (02-01)

Approved for use through 10/31/2002. OMB 0651-0035

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POWER OF ATTORNEY OR AUTHORIZATION OF AGENT	Applicati n Number	09/816,028
	Filing Dat	March 21, 2001
	First Named Inventor	Gilbert, Michel
	Title	Campylobacter Glycosyltransferases for Biosynthesis of Gangliosides...
	Group Art Unit	1614
	Examiner Name	not yet assigned
	Attorney Docket Number	019633-000111US

I hereby appoint:

☒ Practitioners at Customer Number

20350

Place Customer
Number Bar Code
Label here

OR

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number.

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☐ Practitioners at Customer Number

<input type="checkbox"/> Firm or Individual Name					
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City		State		ZIP	
Country					
Telephone		Fax			

I am the:

☐ Applicant/Inventor.

☐ Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

Name	Dr. Arthur J. Carty
Signature	<i>Art Carty</i>
Date	5/02/02

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☐ *Total of forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any Comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.
SF 1312991 v1

Attorney Docket No. 019633-000111US

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Gilbert, Michel

Application No./Patent No.: 09/816,028

Filed/Issue Date: March 21, 2001

Entitled: Campylobacter Glycosyltransferases for Biosynthesis of Gangliosides

National Research Council of Canada

, a Government Agency

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel 012253, Frame 0343, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To : _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To : _____
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3. From: _____ To : _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

5/02/02
Date

Arthur J. Carty
Signature
Dr. Arthur J. Carty
Typed or printed name
President
Title



UNITED STATES
PATENT AND
TRADEMARK OFFICE

JVS
019633 00011US

DECEMBER 21, 2001

PTAS

TOWNSEND & TOWNSEND & CREW LLP
J. DAVID SMITH
TWO EMBARCADERO CENTER, 8TH FLOOR
SAN FRANCISCO, CA 94111-3834

Under Secretary of Commerce For Intellectual Property and
Director of the United States Patent and Trademark Office
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UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 10/09/2001

REEL/FRAME: 012253/0343
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
GILBERT, MICHEL

DOC DATE: 08/16/2001

ASSIGNOR:
WAKARCHUK, WARREN W.

DOC DATE: 08/16/2001

ASSIGNEE:
NATIONAL RESEARCH COUNCIL OF
CANADA
MONTREAL ROAD
BUILDING M-58, ROOM EG12
OTTAWA, CANADA K1A 0R6

SERIAL NUMBER: 09816028
PATENT NUMBER:

FILING DATE: 03/21/2001
ISSUE DATE:

012253/0343 PAGE 2

ANTIONE ROYALL, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

10-19-2001

Attorney Docket No. 019633-000111US

Form PTO-1595

(Rev. 03-01)

OMB No. 0651-0027 (exp. 5/31/2002)



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U.S. Department of Commerce
U.S. Patent and Trademark Office

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To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof

1. Name of conveying party(ies):

Michel Gilbert and
Warren W. Wakarchuk

10-901

Additional name(s) of conveying parties attached? ☒ Yes ☐ No.

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other: _____

Execution Date: August 16, 2001

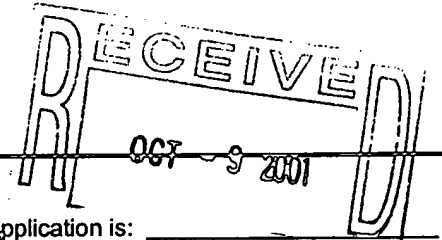
2. Name and address of receiving party(ies)

Name: National Research Council of Canada

Internal Address: Building M-58, room EG12

Street Address: Montreal Road

City: Ottawa State: CANADA ZIP: K1A 0R6

Additional names and addresses attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s).

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No(s): 09/816,028

B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: J. David Smith
 TOWNSEND AND TOWNSEND AND CREW LLP
 Two Embarcadero Center, 8th Floor
 San Francisco, California 94111-3834
 (415) 576-0200

6. Total number of applications and patents involved 1

7. Total fee (37 CFR 3.41): \$40.00

- ☐ Enclosed
☒ Authorized to be charged to deposit account

8. Deposit account number: 20-1430

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true copy of the original document.

J. David Smith

Name of Person Signing
 Atty. Reg. No. 39,839

J. David Smith
 Signature

October 1, 2001
 Date

Total number of pages including cover sheet, attachments and document 4

Mail documents to be recorded with required cover to:
 Commissioner of Patents and Trademarks, Box Assignments
 Washington, D.C. 20231

10/10/2001 6T0411 00000210 201430 09016028

01 FC:501

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ASSIGNMENT

Whereas, we, **Michel Gilbert and Warren W. Wakarchuk**, citizens of Canada, residing at 116-101 Sacre-Coeur, Hull, Quebec, Canada J8X 1C7; and 11-837 Eastvale Drive, Gloucester, Ontario, Canada K1J 7T5; respectively, have made an invention for which we have made application for Letters Patent of the United States of America; and

Whereas **National Research Council of Canada**, incorporated as a company under the National Research Council Act by the Parliament of Canada, and situated in the city of Ottawa, Province of Ontario, Canada, is desirous of acquiring the entire interest therein;

NOW, THEREFORE, in consideration of ONE DOLLAR (\$1.00) and other good and valuable consideration, the receipt of which is hereby acknowledged, we do sell and assign to National Research Council of Canada, our full and exclusive right, for the territory of Canada and the United States Of America and all other countries, including the right to file said foreign applications under the provisions of the International Convention, in and to the said invention as described and claimed in the application for patent entitled

"Campylobacter Glycosyltransferases for Biosynthesis of Gangliosides and Ganlioside Mimetics"

Application **S.N. 09/816,028** filed on the **21st** day of **March, 2001** in the United States of America therefor; and we hereby request the Commissioner of Patents and Trademarks to issue said Letters Patent, as far as our rights are concerned, to National Research Council of Canada, as the assignee, for the sole behoof of said National Research Council of Canada, and its legal representatives, to the full end of

the term for which said Letters Patent may be granted, as fully and entirely as the same would have been held by us had this assignment and sale not been made.

Executed this 16th day of August, 2001
at Ottawa.

Michel Gilbert
Michel Gilbert

Declaration by Witness

I, Kathy Hamelin, whose full post office address is
605 Simcoe Way, Orleans say:

That I was personally present and did see, Michel Gilbert, who is personally
known to me duly sign and execute the above Assignment.

Kathy Hamelin

Executed this 16th day of August, 2001
at Ottawa.

Warren W. Wakarchuk
Warren W. Wakarchuk

Declaration by Witness

I, Kathy Hamelin, whose full post office address is
605 Simcoe Way, Orleans say:

That I was personally present and did see, Warren W. Wakarchuk, who is
personally known to me duly sign and execute the above Assignment.

Kathy Hamelin